

FORM PTO-1390
(REV. 12-2001)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

**TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371**

Arlein 2-2-26-4-5

U.S. APPLICATION NO. (If known, see 37 CFR 1.5

10/031773

INTERNATIONAL APPLICATION NO.
PCT/US01/18959

INTERNATIONAL FILING DATE
12 June 2001

PRIORITY DATE CLAIMED
13 June 2000

TITLE OF INVENTION

Methods and Apparatus for Providing Privacy-Preserving Global Customization

APPLICANT(S) FOR DO/EO/US

Robert M. Arlein, Ben Jai, Bjorn Markus Jakobsson, Fabian Monroe, and Michael Kendrick Reiter

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.
4. ☒ The US has been elected by the expiration of 19 months from the priority date (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☒ is attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ has been communicated by the International Bureau.
 - c. ☒ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
 - a. ☐ is attached hereto.
 - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
 - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ have been communicated by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☐ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371 (c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11 to 20 below concern document(s) or information included:

11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A **FIRST** preliminary amendment.
14. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
15. ☐ A substitute specification.
16. ☐ A change of power of attorney and/or address letter.
17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825.
18. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
20. ☐ Other items or information:

I hereby certify that this correspondence and the documents referred to as enclosed are being deposited with the United States Postal Service on date below in an envelope as "Express Mail Post Office to Addressee" Mail Label Number EL793517567US addressed to: Assistant Commissioner for Patents, Box PCT, Washington, D.C. 20231.

Dated: January 23, 2002

CERTIFICATION UNDER 37 C.F.R. § 1.10

Denise A. Glaser
Denise A. Glaser

INTERNATIONAL APPLICATION NO.
PCT/US01/18959

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21. ☒ The following fees are submitted:

CALCULATIONS PTO USE ONLY

BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)):

Neither international preliminary examination fee (37 CFR 1.482)
nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO
and International Search Report not prepared by the EPO or JPO..... **\$1040.00**

International preliminary examination fee (37 CFR 1.482) not paid to
USPTO but International Search Report prepared by the EPO or JPO **\$890.00**

International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO	\$740.00
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International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4)	\$710.00
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International preliminary examination fee (37 CFR 1.482) paid to USPTO
and all claims satisfied provisions of PCT Article 33(1)-(4) **\$100.00**

ENTER APPROPRIATE BASIC FEE AMOUNT =

\$ 740.00

Surcharge of **\$130.00** for furnishing the oath or declaration later than ☐ 20 ☐ 30 months from the earliest claimed priority date (37 CFR 1.492(e)).

\$

TOTAL OF ABOVE CALCULATIONS =		\$ 1,088.00
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☐ Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.

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SUBTOTAL	=	\$ 1,088.00
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Processing fee of **\$130.00** for furnishing the English translation later than ☐ 20 ☐ 30 months from the earliest claimed priority date (37 CFR 1.492(f)).

\$

TOTAL NATIONAL FEE	=	\$ 1,088.00
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Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). **\$40.00** per property +

\$ 40.00

TOTAL FEES ENCLOSED	=	\$ 1,128.00
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Amount to be refunded:

charged:

- a. ☒ A check in the amount of \$ 1,128.00 to cover the above fees is enclosed.
- b. ☐ Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees.
A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 50-0762. A duplicate copy of this sheet is enclosed.
- d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. **Credit card information should not be included on this form.** Provide credit card information and authorization on PTO-2038.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137 (a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

William E. Lewis, Esq.
Ryan, Mason & Lewis, LLP
90 Forest Avenue
Locust Valley, New York 11560
(516) 759-2946

SIGNATURE

William E. Lewis

NAME _____

39.274

REGISTRATION NUMBER

Arlein 2-2-26-4-5

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): R.M. Arlein et al.
Case: 2-2-26-4-5
Serial No.: To Be Assigned
Filing Date: January 23, 2002
Int'l. Appln. No.: PCT/US01/18959
Int'l. Filing Date: 12 June 2001
Priority Date Claimed: 13 June 2000
Title: Methods and Apparatus for Providing
Privacy-Preserving Global Customization

PRELIMINARY AMENDMENT

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

Prior to examination and calculation of the additional claims fee, please amend the above-identified application as follows:

IN THE CLAIMS

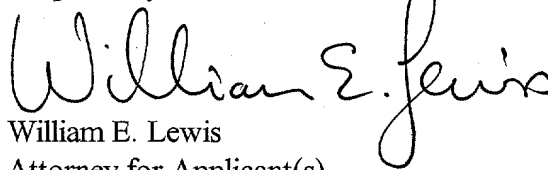
Please cancel claims 30-36 and 38-51 without prejudice.

REMARKS

Applicants have canceled claims 30-36 and 38-51 without prejudice. It is respectfully asserted that the application, including pending claims 1-29 and 37, is in proper condition for allowance. As such, early and favorable consideration is respectfully solicited.

Attached hereto is a marked up version of the changes made to the claims by the present Amendment. The attached pages are captioned "Versions with Markings to Show Changes Made."

Respectfully submitted,



William E. Lewis
Attorney for Applicant(s)
Reg. No. 39,274
Ryan, Mason & Lewis, LLP
90 Forest Avenue
Locust Valley, NY 11560
(516) 759-2946

Date: January 23, 2002

VERSION WITH MARKINGS TO SHOW CHANGES MADE

IN THE CLAIMS

Claims 30-36 and 38-51 have been canceled without prejudice.